



ARIZONA DEPARTMENT OF ECONOMIC SECURITY

1789 W. Jefferson • P.O. Box 6123 • Phoenix, AZ 85005

Janet Napolitano
Governor

Tracy L. Wareing
Director

June 11, 2007

WIA GUIDANCE LETTER # 23-06

Rescinds WIA Guidance Letter # 11-05, dated September 6, 2005

SUBJECT: Workforce Investment Act (WIA) Title IB Participant Follow-up Requirements
Changes were made as a result of federal requirement changes and are **highlighted**.

REFERENCES: P.L. 105-220 §129(c)(2)(I); §134(d)(2)(K); §136(d); and 20 CFR 662.240(b)(11); 663.150(b); 664.410(a)(9); 664.420; 664.440; 664.450; 667.300 WIA Final Rules dated August 11, 2000 and Training and Employment Guidance Letter (TEGL) #17-05

BACKGROUND: This Guidance Letter provides clarification of follow-up activities, follow-up services and post exit performance requirements for registered participants in Adult, Dislocated Worker and Youth WIA Title IB programs in Arizona to meet updated Federal guidance.

ACTION REQUIRED: Please ensure this letter and its attachments are provided to all appropriate staff. If you have any questions, please contact your assigned Field Operations Liaison at (602) 542-3957.

This policy is subject to change. All WIA Guidance Letters are posted on the WIA website at <http://www.azdes.gov/wia/infomemos.asp>.

Sincerely,

Carolyn Ufford
WIA Section Manager
Employment Administration

- Attachment A: Adult and Dislocated Worker Follow-up Activities
- Attachment B: Follow-up Services Adult and Dislocated Worker
- Attachment C: Post Exit Performance Adult and Dislocated Worker
- Attachment D: Follow-up Services Youth
- Attachment E: Post Exit Performance Youth Participants
- Attachment F: Activity and Service Comparison Adult and Dislocated Worker
- Attachment G: Supportive Services Comparison Adult, Dislocated Worker and Youth

Adult and Dislocated Worker Follow-up Activities

References: P.L. 105-220, §134 (d) (2) (K) and 20 CFR 663.150 (b)

Follow-up activities are provided to adults and dislocated workers who have entered unsubsidized employment, but **have not exited** the WIA Title 1B program. Twelve (12) months of follow-up activities **must be made available** beginning the day after entry into unsubsidized employment.

The goal of follow-up activities for adults and dislocated workers is to ensure job retention, wage gains and career progress for individuals who obtained unsubsidized employment. Although **follow up activities must be made available**, not all adults and dislocated workers who are registered and placed into unsubsidized employment will need or want such services.

Each participant's file or VOS Case Notes must contain documentation substantiating that follow-up services are offered. This may include, but not limited to a letter, an e-mail or case notes based on an actual conversation, either in person or by telephone offering follow-up services.

Follow-up activities **must be recorded in VOS** on the **enrollment/activity screen**:

108	Follow-up Activity - Workplace Counseling
194	Follow-up Activity - Mentoring/Job Shadowing (FAM)
195	Follow-up Activity – Other (FAO)
196	Follow-up Activity – Regular Employer Contact (FAR)
197	Follow-up Activity – Assistance Securing Better Paying Job (FAS)

Follow-up Services Adult and Dislocated Worker

Reference: P.L.105-220§ 134(d)(2)(K); 20 CFR 662.240(b)(11); 663.150(b)

If **employed at exit**, follow-up services must be recorded on the **Quarterly Follow-up Record** in **VOS** by using the checklist below. Follow-up services begin the day after entry into unsubsidized employment.

If **unemployed at exit**, the twelve (12) months of follow-up services must be made available beginning the day after entry into unsubsidized employment. This may occur during the first three quarters following exit.

The goal of follow-up services for adults and dislocated workers is to ensure job retention, wage gains, and career progress for individuals who obtained unsubsidized employment. Although **follow up services must be made available**, not all adults and dislocated workers who are registered and placed into unsubsidized employment will need or want such services.

Each participant's file or VOS Case Notes must contain documentation substantiating follow-up services are offered. This may include, but not limited to a letter, an e-mail or case notes based on an actual conversation, either in person or by telephone offering follow-up services. **Services provided are documented on the VOS Follow-up Screen.**

Post Exit Performance Adult and Dislocated Worker

Reference: P.L. 105-220 § 136 (d); 20 CFR 667.300; TEGL #17-05

Adult and dislocated worker's quarterly post exit information (required are first, second, and third quarters) must be recorded in VOS within 45 days following the **end of the** exit quarter. Credential Attainment can be recorded during participation upon completion of the activity, **on the case closure** **OR** during any of the required first, second or third follow-up quarters.

A certificate is awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. **Certificates awarded by local Workforce Investment Boards or awarded in recognition of the attainment of only generic pre-employment or work readiness skills are not included in this definition.** A certificate is awarded in recognition of an individual's attainment of technical or occupational skills by:

- A state educational agency or a state agency responsible for administering vocational and technical education within a state.
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by Title IV of that Act. This includes community colleges, proprietary schools, and all other institution of higher education that are eligible to participate in Federal student financial aid programs.
- A professional, industry, or employer organization (e.g. National Institute for Automotive Service Excellence certificate, National Institute for Metalworking Skills, Inc., Machining Level I credential) or a product manufacturer or developer (e.g., Microsoft Certified Database Administrator, Certified Novell Engineer, Sun Certified Java Programmer) using a valid and reliable assessment of an individual's knowledge, skills, and abilities.
- A registered apprenticeship program.
- A public regulatory agency, upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., FAA aviation mechanic certification, state certified asbestos inspector).
- A program that has been approved by the Department of Veterans Affairs to offer education and training to veterans and other eligible persons under provisions of the Montgomery GI Bill.
- Office of Job Corps
- Institutions of higher education which are formally controlled, or has been formally sanctioned, or chartered, by the governing body of an Indian tribe or tribes.

Participants in the following categories, either at the time of exit or during the first three-quarters following exit will be excluded from performance:

- Institutionalized
- Heath/Medical or Family Care
- Deceased – Self explanatory
- Reservist Called to Active Duty

Exclusions must be recorded in VOS on the **exit or the follow-up screen**, as appropriate.

All exited participants must have all follow-ups completed in VOS.

Follow-up Services Youth

References: P.L. 105-220§129(c)(2)(I); 20 CFR 664.410(a)(9); 664.420; 664.440 and 664.450

All Youth must receive some form of follow-up services for a minimum duration of twelve (12) months beginning the next day **after** exit. Follow-up services may be provided beyond twelve (12) months at the State or Local Board's discretion. The types of services provided and the duration of services must be determined based on the needs of the individual.

The goal of follow-up services is to enable the youth to be successful in education/employment and continue life long learning and achieve self-sufficiency.

Follow-up services for youth **are recorded in VOS on the follow-up screen**. The fourth (4th) quarter follow-up screen is where the twelve (12) months of follow-up services is recorded for youth.

Post Exit Performance Youth Participants

Reference: TEGL #17-05

Youth quarterly post exit information (required quarters are first, second, and third) must be recorded in VOS within 45 days following the **end of the** exit quarter. Credential Attainment can be recorded during participation upon completion of the activity, at exit **OR** during any of the required first, second and third follow-up quarters.

A certificate is awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. **Certificates awarded by local Workforce Investment Boards or awarded in recognition of the attainment of only generic pre-employment or work readiness skills are not included in this definition.** A certificate is awarded in recognition of an individual's attainment of technical or occupational skills by:

- A state educational agency or a state agency responsible for administering vocational and technical education within a state.
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by Title IV of that Act. This includes community colleges, proprietary schools, and all other institution of higher education that are eligible to participate in Federal student financial aid programs.
- A professional, industry, or employer organization (e.g. National Institute for Automotive Service Excellence certificate, National Institute for Metalworking Skills, Inc., Machining Level I credential) or a product manufacturer or developer (e.g., Microsoft Certified Database Administrator, Certified Novell Engineer, Sun Certified Java Programmer) using a valid and reliable assessment of an individual's knowledge, skills, and abilities.
- A registered apprenticeship program.
- A public regulatory agency, upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., FAA aviation mechanic certification, state certified asbestos inspector).
- A program that has been approved by the Department of Veterans Affairs to offer education and training to veterans and other eligible persons under provisions of the Montgomery GI Bill.
- Office of Job Corps.
- Institutions of higher education which are formally controlled, or has been formally sanctioned, or chartered, by the governing body of an Indian tribe or tribes.

Participants in the following categories, either at the time of exit or during the first three-quarters following exit, will be excluded from performance:

- Institutionalized
- Health/Medical or Family Care
- Deceased – Self explanatory
- Reservist Called to Active Duty
- Relocated to a Mandated Residential Program (Youth only)

Exclusions **must be recorded in VOS** on the exit or the follow-up screen, as appropriate.

All exited participants must have all follow-ups completed in VOS.

Activity and Service Comparison Adult and Dislocated Worker

Follow-up Activities	Follow-up Services
<p>NOT EXITED but entered into unsubsidized employment. Twelve (12) months of services must be made available beginning the day after entry into unsubsidized employment.</p>	<p align="center">EXITED</p>
<p>Follow-up activities may include:</p> <ul style="list-style-type: none"> • Workplace Counseling • Mentoring/Job Shadowing • Other • Regular Employer Contact • Assistance Securing Better Paying Job 	<p>Follow-up services may include:</p> <ul style="list-style-type: none"> • Workplace Counseling • Mentoring/Job Shadowing • Other • Regular Employer Contact • Assistance Securing Better Paying Job

Supportive Services Comparison Adult, Dislocated Worker and Youth

Adult and Dislocated Worker	Youth Participant
Allowable Supportive Services 130 – Other 180 – Family Care 181 – Transportation Assistance 182 – Medical 184 – Temporary Shelter 185 – Disabled 186 – Counseling 187 – Clothing 188 - Incentives and Bonuses 216 – Out-of-Area Job Search 217 – Relocation Assistance 326 – Needs Related Payments (only during training)	Allowable Supportive Services 480 – Family Care 481 – Transportation Assistance 482 – Medical 483 – Temporary Shelter 485 – Special Services for Disabled 486 – Counseling 487 – Relocation Assistance 492 – Other 493 – Clothing 494 – Incentives and Bonuses
Before Exit, recorded in VOS Enrollment/Activity Screen	Before Exit, recorded on VOS Enrollment/Activity Screen
After Exit, recorded on VOS Follow-up Screen.	After Exit, recorded on VOS Follow-up Screen.